

Please type a plus sign (+) inside this box → ☐

PTO/SB/01 (12-97)
Approved for use through 9/30/00. OMB 0651-0032
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number 2727-154 930008-2006

First Named Inventor Holger Bock

COMPLETE IF KNOWN

Application Number 09/914,052

Filing Date

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Oligomers Substituted by Phosphite Ester, Phosphonic Acid or Carbaborane Functions and the Corresponding PNA Monomers

the specification of which (Title of the Invention)

☐ is attached hereto
OR

☒ was filed on (MM/DD/YYYY)

03/03/2000 ✓

as United States Application Number or PCT International

Application Number

PCT/EP00/01852 ✓

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? | |
|-------------------------------------|-----------|----------------------------------|--|--|--|
| | | | | YES | NO |
| DE 199 09 373.3 ✓ | Germany ✓ | 03/03/1999 ✓ | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) | <input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto. |
|-----------------------|--------------------------|--|
| | | |

(Page 1 of 3)

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Express Mail No.EL742671108US

Please type a plus sign (+) inside this box → ☐

PTO/SB/01 (12-97)
Approved for use through 9/30/00. OMB 0651-0032
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| U. S. Parent Application or PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|---|---------------------------------|--------------------------------------|
| | | |

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☐ Customer Number
OR

☒ Registered practitioner(s) name/registration number listed below

Place Customer
Number Bar Code
Label here

| Name | Registration Number | Name | Registration Number |
|--------------------|---------------------|------|---------------------|
| Ronald R. Santucci | 28,988 | | |

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

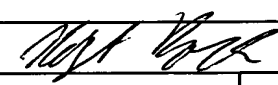
Direct all correspondence to:

☐ Customer Number or
Bar Code Label

OR ☒ Correspondence address below

| | | | | | |
|---------|-----------------------------------|-----------|--------------|-----|--------------|
| Name | Ronald R. Santucci | | | | |
| Address | Pitney, Hardin, Kipp & Szuch, LLP | | | | |
| Address | 711 Third Avenue, 20th Floor | | | | |
| City | New York | State | NY | ZIP | 10017 |
| Country | U.S.A. | Telephone | 212-687-6000 | Fax | 212-682-3485 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

| | | | | | | | |
|--|---|-------|------------------------|---------|---------|----------------|--------|
| Name of Sole or First Inventor: | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | | | | |
| Given Name (first and middle (if any)) | | | Family Name or Surname | | | | |
| Holger | | | Bock | | | | |
| Inventor's Signature |  | | | | Date | Oct. 4th, 2001 | |
| Residence: City | Munich | State | DEX | Country | Germany | Citizenship | German |
| Post Office Address | Georgenschwaigstr. 38 | | | | | | |
| Post Office Address | 80807 Munich, Germany | | | | | | |
| City | | State | | ZIP | | Country | |

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

Please type a plus sign (+) inside this box → +

+

DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 3 of 3

| | | | | | | | | |
|--|--------------------|-------|-----------|---|------------------------|---------|-------------|---------------|
| Name of Additional Joint Inventor, if any: | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | | |
| Given Name (first and middle [if any]) | | | | Family Name or Surname | | | | |
| <u>Thomas</u> | | | | <u>Lindhorst</u> | | | | |
| Inventor's Signature | <u>[Signature]</u> | | | Date | <u>Oct. 4th / 2001</u> | | | |
| Residence: City | <u>Wasserburg</u> | State | <u>DE</u> | Country | <u>Germany</u> | | Citizenship | <u>German</u> |
| Post Office Address | | | | <u>Unter der Schanz 10</u> | | | | |
| Post Office Address | | | | <u>83512 Wasserburg, Germany</u> | | | | |
| City | | State | | ZIP | | Country | | |
| Name of Additional Joint Inventor, if any: | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | | |
| Given Name (first and middle [if any]) | | | | Family Name or Surname | | | | |
| | | | | | | | | |
| Inventor's Signature | | | | Date | | | | |
| Residence: City | | State | | Country | | | Citizenship | |
| Post Office Address | | | | | | | | |
| Post Office Address | | | | | | | | |
| City | | State | | ZIP | | Country | | |
| Name of Additional Joint Inventor, if any: | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | | |
| Given Name (first and middle [if any]) | | | | Family Name or Surname | | | | |
| | | | | | | | | |
| Inventor's Signature | | | | Date | | | | |
| Residence: City | | State | | Country | | | Citizenship | |
| Post Office Address | | | | | | | | |
| Post Office Address | | | | | | | | |
| City | | State | | ZIP | | Country | | |

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

+

T00277 25041660

2-00

Applicant or Patentee: **Holger Bock and Thomas Lindhorst**
Serial or Patent No.: **09/914,052**
Filed or Issued:
For: **"Oligomers Substituted by Phosphite Ester,
Phosphonic Acid or Carbaborane
Functions and the Corresponding PNA
Monomers"**

Frommer Lawrence & Haug LLP
File No.: 930008-2006
Page 1 of 2

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) – SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN **Ugichem GmbH**
ADDRESS OF CONCERN **Georgenschwaigstr. 38
80807 Munich, Germany**

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **"Oligomers Substituted by Phosphite Ester, Phosphonic Acid or Carbaborane Functions and the Corresponding PNA Monomers"** by inventor(s) **Holger Bock and Thomas Lindhorst** described in

- ☐ the specification filed herewith.
☒ application serial no. **09/914,052**, filed
☐ patent no. , issued

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

Applicant or Patentee: **Holger Bock and Thomas Lindhorst**
Serial or Patent No.: **09/914,052**
Filed or Issued:
For: **"Oligomers Substituted by Phosphite Ester,
Phosphonic Acid or Carbaborane
Functions and the Corresponding PNA
Monomers"**

Frommer Lawrence & Haug LLP
File No.: **930008-2006**
Page 2 of 2

CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Full Name:

Address:

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Full Name:

Address:

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Full Name

Address

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: *Holger Bock*

Title in Organization:
(if other than owner)

Address of Person Signing:

**Ugichem GmbH
Georgenschwaigstr. 18
80807 Munich, Germany**

Signature: *[Signature]*

Date: *26th October 2001*